

# SB 20 Approved Collector Inspection Report

Facility Name: \_\_\_\_\_

Identification Number: \_\_\_\_\_

Facility Address: \_\_\_\_\_

Date Inspected: \_\_\_\_\_

Inspected By: \_\_\_\_\_

Type of Inspection:      Annual ☐      Re-inspection ☐      Complaint ☐

Consent given by: \_\_\_\_\_ Time: \_\_\_\_\_

## DISCLAIMER

This checklist is intended to provide guidance only. This checklist does not replace or supersede relevant statutes and regulations. The information contained in this checklist is based upon the statutes and regulations in effect as of the date the checklist was signed. Interested parties are advised to keep apprised of subsequent changes to relevant statutes and regulations.

Citations that start with the number "66" are to the California Code of Regulations (CCR), title 22, division 4.5. Citations that start with the number "42" are to the Public Resources Code, division 30, part 3, chapter 8.5.

## REGULATED WASTES

Covered electronic devices are defined as a video display device with a screen size that is greater than four inches in size measured diagonally and which the DTSC determines, when discarded or disposed, would be a hazardous waste pursuant to Chapter 6.5 (commencing with Section 25100) of Division 20 of the Health and Safety Code. This definition covers cathode ray tubes (CRTs), CRT devices, laptop computers with liquid crystal display (LCD) monitors and plasma televisions with a screen size that is greater than four inches in size measured diagonally. [42463(f)(1)]

In addition to handlers of CRTs and CRT devices, this checklist also applies to small and large quantity handlers of a UW electronic device except as provided for households and for conditionally exempt small quantity universal waste generators in section 66273.8. "Small Quantity Handler of Universal Waste" is defined as a UW handler who does not accumulate 5,000 kilograms or more total of universal waste (e.g., batteries, electronic devices, thermostats, lamps, etc. calculated collectively) at any time. [66273.9]. "Large Quantity Handler of Universal Waste" is defined as a universal waste handler who accumulates 5,000 kilograms or more total of universal waste (e.g., batteries, thermostats, lamps, etc. calculated collectively) at any time. This designation as a large quantity handler of universal waste is retained through the end of the calendar year in which 5,000 kilograms or more total of universal waste is accumulated. [66273.9]

An electronic device that is listed in California Code of Regulations, Title 22, section 66260.201, subdivision (c) of Appendix X to Chapter 11 shall be managed as a "covered electronic device" under chapter 8.5 of part 3 of division 30 of the Public Resources Code (section 42460 et seq.) unless the manufacturer of the device has obtained the DTSC's concurrence that the device is non hazardous pursuant to subsection (c). Examples of UW electronic devices that are also a "covered electronic device" include laptop computers with (LCD) monitors or plasma televisions if the screens are greater than four inches diagonally. [66260.201]

Examples of electronic devices subject to the same management requirements as a "covered electronic device" include, but are not limited to the following: Computers, computer peripherals, telephones, answering machines, radios, stereo equipment, tape players/recorders, phonographs, video cassette players/recorders, compact disc players/recorders, calculators, and some appliances. [66273.9]

## Cathode Ray Tubes (CRTs)

Check box if violation: (if checked see attached SOV)

PROHIBITIONS	
<input type="checkbox"/>	Disposed of a CRT material. [66273.81(a)]
<input type="checkbox"/>	Diluted or treated a CRT material unless requirements of this section are met. [66273.81(b)]
NOTIFICATION & ANNUAL REPORT	
<input type="checkbox"/>	Failed to notify DTSC at least 30 days prior to accepting any CRT materials from an offsite source. [66273.82(a)]
<input type="checkbox"/>	Failed to submit an annual report to DTSC, if CRT MH accepted >5 CRTs, >5 CRT devices, or >100 kg of CRT glass per calendar year from any offsite source. [66273.82(b)(2)]
<input type="checkbox"/>	Failed to submit annual report to DTSC, if CRT MH generates ≥5,000 kg of CRT material per calendar year. [66273.82(b)(3)]

<input type="checkbox"/>	Failed to submit written annual report to DTSC by February 1 of each calendar year. [66273.82(b)]
<input type="checkbox"/>	Submitted an incomplete notification or annual report. [66273.82(a) & (b)(4)]
<input type="checkbox"/>	A CRT MH who performs data conversions derived from mass data failed to include the conversion factor(s) in the annual report. [66273.82(c)]
<input type="checkbox"/>	Failed to submit a written notification or annual report by certified mail, return receipt. [66273.82(d)]
WASTE MANAGEMENT	
<input type="checkbox"/>	Failed to contain any CRT materials in containers or packages that are structurally sound, adequate to prevent breakage, and compatible with the contents of the container. [66273.83(a)(1)]



<input type="checkbox"/>	Failed to immediately clean up and place in a container any CRT material that is broken or shows evidence of breakage, leakage, or damage. [66273.83(a)(2)]
	<b>LABELING/MARKING</b>
<input type="checkbox"/>	Failed to properly label or clearly mark each container or pallet in or on which CRTs, CRT devices or CRT glass are contained. [66273.84]
<input type="checkbox"/>	Failed to properly label a designated area where CRTs and CRT devices are accumulated within demarcated boundaries. [66273.84)(d)]
<input type="checkbox"/>	Stored CRTs and CRT devices along with other materials in designated CRT accumulation areas. [66273.84)(d)]
	<b>ACCUMULATION TIME LIMITS</b>
<input type="checkbox"/>	Accumulated CRT material for more than one year from the date the universal waste (UW) is generated, or received from another handler. [66273.85(a)]
<input type="checkbox"/>	Failed to demonstrate the length of time that the UW has been accumulated from the date it became a waste or was received. [66273.85(b)]
	<b>EMPLOYEE TRAINING</b>
<input type="checkbox"/>	Failed to inform all employees who handle or have responsibility for managing CRT material of the proper handling and emergency procedures. [66273.86(a)]
<input type="checkbox"/>	Employees who manage or handle waste CRT materials failed to receive specified initial training. [66273.86(b)]
<input type="checkbox"/>	Employees failed to take part in annual review of the initial training. [66273.86(c)]
	<b>RESPONSE TO RELEASES</b>
<input type="checkbox"/>	Failed to immediately contain all releases of CRT material and residues from CRT material. [66273.87(a)]
<input type="checkbox"/>	Failed to determine whether any material resulting from a release is a HW. [66273.87(b)]
<input type="checkbox"/>	Failed to manage any material determined to be HW as HW. [66273.87(b)]
<input type="checkbox"/>	Managed residues of leaking, broken, or damaged CRT material as UW without repackaging according to applicable standards. [66273.87(c)]
	<b>OFF-SITE SHIPMENTS</b>
<input type="checkbox"/>	Sent or took CRT material to a place other than another CRT MH, a destination facility, or a foreign destination. [66273.88(a)]
<input type="checkbox"/>	A CRT MH that transports CRT material off-site failed to comply with the UW transporter requirements. [66273.88(b)]

<input type="checkbox"/>	A CRT MH that offers CRT material that meets the definition of a hazardous material for off-site transportation failed to package, label, mark and placard the shipment according to applicable United States Department of Transportation (U.S DOT) regulations. [66273.88(c)]
<input type="checkbox"/>	The originating CRT MH failed to obtain an agreement from the receiving CRT MH prior to sending a shipment of CRT material. [66273.88(d)]
<input type="checkbox"/>	The originating CRT MH failed to follow rejected load procedures. [66273.88(e)]
<input type="checkbox"/>	The receiving CRT MH that rejects a shipment of CRT material failed to follow rejected load procedures. [66273.88(f)]
<input type="checkbox"/>	A CRT MH that receives a shipment of CRT material containing HW failed to notify DTSC of the shipment. [66273.88(g)]
<input type="checkbox"/>	A CRT MH that receives a shipment of non-hazardous, non-UW, failed to manage the waste in compliance with applicable federal, state, and local solid waste regulations. [66273.88(h)]
	<b>EXPORT</b>
<input type="checkbox"/>	Failed to notify DTSC four weeks before the intended initial shipment of CRT material to any foreign destination. [66273.90(a)]
<input type="checkbox"/>	Failed to notify CUPA of the intended export. [66273.90(a)]
<input type="checkbox"/>	Submitted an incomplete notification. [66273.90(b)]
<input type="checkbox"/>	Failed to notify the DTSC at least 60 days prior to export, the destination, contents, and volume of covered electronic waste (e-waste) to be exported to any foreign destination. [42476.5(a)]
<input type="checkbox"/>	Failed to demonstrate that the importation of covered e-waste is not prohibited by any applicable law or regulation of the country of destination and that any import is conducted in accordance with all applicable laws. [42476.5(b)]
<input type="checkbox"/>	Failed to forward required import and operating licenses to the DTSC. [42476.5(b)]
<input type="checkbox"/>	Failed to demonstrate that the exportation of covered e-waste is conducted only in accordance with applicable international law. [42476.5(c)]
<input type="checkbox"/>	Failed to demonstrate that the management of the exported covered e-waste will be handled within the country of destination in accordance with applicable rules, standards, and requirements adopted by the



	Organization for Economic Cooperation and Development (OECD) for the environmentally sound management of e-waste. [42476.5(d)]
<input type="checkbox"/>	Failed to demonstrate that the covered e-waste is being exported for the purpose of reuse or recycling. [42476.5(e)]
	<b>RECORDKEEPING</b>
<input type="checkbox"/>	Failed to maintain records of employee training received for at least three years from the date the employee last worked at the facility. [66273.86(d)]
<input type="checkbox"/>	Incomplete shipment record of CRT material received. [66273.89(a)]
<input type="checkbox"/>	Incomplete shipment record of CRT material sent. [66273.89(b)]

### UWED Small/Large Quantity Handler

Check box if violation: (if checked see attached SOV)

	<b>PROHIBITIONS</b>
<input type="checkbox"/>	Disposed of UW [66273.11/31(a)]
<input type="checkbox"/>	Diluted or treated universal waste, except by responding to releases as provided in section 66273.17/37; or by managing specific wastes as provided in section 66273.13/33. [66273.11/31(b)]
	<b>WASTE MANAGEMENT</b>
	Containment
<input type="checkbox"/>	Failed to handle any UW electronic devices in a manner that minimizes breakage. [66273.13/33(d)(1)(A)]
<input type="checkbox"/>	Failed to store (e.g., in containers) UW electronic devices or manage (e.g., stored in a room) whole UW electronic devices in a manner that could reasonably prevent leakage, spillage, damage, or breakage resulting in a release of hazardous components contained within the device. [66273.13/33(d)(1)(A)]
<input type="checkbox"/>	Failed to immediately clean up and place in a container any UW electronic device that is broken and may reasonably be expected to cause a release of hazardous constituents to the environment. [66273.13/33(d)(1)(B)]
<input type="checkbox"/>	Failed to ensure that containers used to store broken UW electronic devices that may reasonably be expected to cause a release of hazardous constituents to the environment are structurally sound, compatible with the contents of the universal waste electronic devices, and prevent leakage or releases of hazardous components to the environment under reasonably foreseeable conditions. [66273.13/33(d)(1)(B)]

	<b>Notification and Reporting Requirements</b>
<input type="checkbox"/>	Failed to send written notification of universal waste management to the Regional Administrator, and receive an EPA Identification Number, before meeting or exceeding the 5,000 kilogram accumulation limit. [66273.32(a)(1)] Note: However, a large quantity handler of universal waste would not be required to notify U.S. EPA and obtain an EPA ID Number if the total quantity of all universal wastes handled (minus the universal waste electronic devices) does not meet or exceed the 5,000 Kg accumulation limit, and the large quantity handler has submitted the applicable notifications specified in this Article, and the large quantity handler ensures that all universal waste electronic devices handled are managed and recycled in accordance with this Article. [66273.32(a)(3)(A),(B) & (C)]
<input type="checkbox"/>	Failed to notify DTSC within 30 days prior of accepting any UW electronic devices from an off-site source after August 6, 2004. [66273.13/33(d)(2)(A)]
<input type="checkbox"/>	Failed to notify DTSC prior to July 7, 2004, if SQH/LQH currently handling UW electronic devices from offsite sources. [66273.13/33(d)(2)(A)]
<input type="checkbox"/>	Submitted an incomplete notification. [66273.13/33(d)(2)(A)]
<input type="checkbox"/>	Failed to submit an annual report to DTSC if SQH of UW accepts > 100 kilograms or 220 pounds of UW electronic devices from any off-site source. [66273.13/33(d)(2)(B)]
<input type="checkbox"/>	Failed to submit a complete report to DTSC by February 1 covering the previous calendar year, commencing February 1, 2005. [66273.13/33(d)(2)(B)]
<input type="checkbox"/>	Failed to submit electronic notifications and reports to <a href="http://www.dtsc.ca.gov">www.dtsc.ca.gov</a> . [66273.13/33(d)(2)(C)]
<input type="checkbox"/>	Failed to submit written notifications & reports to DTSC by certified mail, return receipt. [66273.13/33(d)(2)(A)] & [66273.13/33(d)(2)(D)]

	<b>LABELING/MARKING</b>
<input type="checkbox"/>	Failed to properly label or clearly mark each container or pallet in or on which UW electronic devices are contained, including containers or pallets that also contain devices with one of the following phrases: "Universal Waste Electronic Device(s)" or "UW—Electronic Device(s)." [66273.14/34(d)]
	<b>AND</b>
<input type="checkbox"/>	Failed to accumulate universal waste electronic devices within a designated area demarcated by boundaries that are clearly labeled. [66273.14/34(d)(1)]
	<b>ACCUMULATION TIME LIMITS</b>
<input type="checkbox"/>	Accumulated universal waste for longer than one year from the date the universal waste is generated, or received from another handler,



	unless the requirements of subsection (b) of this section are met. [66273.15/35]
<input type="checkbox"/>	Failed to mark or label the length of time that the universal waste has been accumulated from the date it becomes a waste or is received. [66273.15/35(c)]
OR	
<input type="checkbox"/>	Failed to maintain an inventory system on-site that identifies the date each universal waste became a waste or was received. [66273.15/35(c)(1)&(2)]
OR	
<input type="checkbox"/>	Failed to maintain an inventory system on-site that identifies the earliest date that any universal waste in a group of universal waste items or a group of containers of universal waste became a waste or was received. [66273.15/35(c)(3)&(4)]
OR	
<input type="checkbox"/>	Failed to place UW in a specific accumulation area and identifying the earliest date that any universal waste in the area became a waste or was received. [66273.15/35(c)(5)]
<b>EMPLOYEE TRAINING</b>	
<input type="checkbox"/>	Failed to provide training to ensure that all employees who handle or have responsibility for managing universal waste are thoroughly familiar with proper waste handling and emergency procedures, relative to their responsibilities during normal facility operation and emergencies. [66273.16/36]
<b>RESPONSE TO RELEASES</b>	
<input type="checkbox"/>	Failed to immediately contain all releases of universal wastes and other residues from universal wastes. [66273.17/37(a)]
<input type="checkbox"/>	Failed to determine whether any material resulting from the release is hazardous waste, and if so, manage the hazardous waste in compliance with all applicable requirements of this division. [66273.17/37(b)]
<input type="checkbox"/>	Failed to properly repackage waste consisting only of residues of leaking, broken, or otherwise damaged universal waste. [66273.17/37(c)]
<b>OFF-SITE SHIPMENTS</b>	
<input type="checkbox"/>	Sent or delivered UW to a place other than another UW handler, a destination facility, or a foreign destination. [66273.18/38(a)]
<input type="checkbox"/>	Failed to comply with transporter requirements while self-transporting the universal waste. [66273.18/38(b)]
<input type="checkbox"/>	Failed to package, label, mark and placard the shipment, and prepare the proper shipping papers for UW offered for off-site transportation that meets the definition of hazardous materials under 49 CFR parts 171 through 180. [66273.18/38(c)]

<input type="checkbox"/>	Failure to ensure that the receiving handler agrees to receive the shipment from the originating handler prior to sending a shipment. [66273.18/38(d)]
<input type="checkbox"/>	Failure to either receive the UW back, or agree with the receiving handler on a destination facility to which the shipment will be sent, if the UW is rejected by the receiving handler or destination facility. [66273.18/38(e)(1)&(2)]
<input type="checkbox"/>	Failed to notify the originating handler to discuss reshipment, if the receiving handler rejects a shipment containing UW, or a portion of a shipment containing UW. [66273.18/38(f)(1)&(2)]
<input type="checkbox"/>	Failed to immediately notify DTSC of the illegal shipment, and provide the name, address, and phone number of the originating shipper if the facility receives a shipment containing hazardous waste that is not a universal waste. [66273.18/38(g)]
<b>TRACKING UW SHIPMENTS</b>	
<input type="checkbox"/>	Failed to keep a record of each shipment of universal waste <u>received</u> at the facility. [66273.19/39(a)]
<i>Failed to record any of the following information:</i>	
<input type="checkbox"/>	The name and address of the originating universal waste handler or foreign shipper from whom the universal waste was sent; [66273.19/39(a)(1)]
<input type="checkbox"/>	The quantity of each type of universal waste received (e.g., batteries, thermostats, lamps, mercury switches, etc.); [66273.39(a)(2)]
<input type="checkbox"/>	The date of receipt of the shipment of universal waste. [66273.19/39(a)(3)]
<input type="checkbox"/>	Failed to keep a record of each shipment of universal waste <u>sent</u> from the handler to off-site facilities. [66273.19/39(b)]
<i>Failed to record any of the following information:</i>	
<input type="checkbox"/>	The name and address of the universal waste handler, destination facility, or foreign destination to whom the universal waste was sent; [66273.19/39(b)(1)]
<input type="checkbox"/>	The quantity of each type of universal waste sent (e.g., batteries, thermostats, lamps, mercury switches, etc.); [66273.39(b)(2)]
<input type="checkbox"/>	The date the shipment of universal waste left the facility. [66273.19/39(b)(3)]
<input type="checkbox"/>	Failed to retain the records described in subsection (a) of this section for at least three years from the date of receipt of a shipment of universal waste; [66273.19/39(c)(1)]
<input type="checkbox"/>	Failed to retain the records described in subsection (b) of this section for at least three years from the date a shipment of universal waste left the facility. [66273.19/39(c)(2)]



